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MATTERS RELATING TO ARRANGEMENTS FOR THE FINANCIAL MECHANISM AND FOR TECHNICAL AND FINANCIAL SUPPORT TO DEVELOPING COUNTRY PARTIES

IMPLEMENTATION OF ARTICLE 11 (FINANCIAL MECHANISM), PARAS. 1-4

Summary of the "Guidelines for the preparation of first communications by Annex I Parties" (Annex to Committee decision 9/2)

Note by the interim secretariat

1. The Committee, at its ninth session, requested the interim secretariat to prepare a document for its tenth session "summarizing the key elements of the format adopted for communication of information by Annex I Parties pursuant to Article 12.2" (A/AC.237/55, para. 83). This format consists of the "Guidelines for the preparation of first communications by Annex I Parties" annexed to decision 9/2 of the Committee. The summary of these Guidelines is presented in the annex to the present note.

2. This request by the Committee followed the conclusion of a discussion of the financial needs arising under the Convention with respect to capacity-building activities in developing country Parties, to enable them to fulfil their obligations under Article 12.1 (see A/AC.237/55, para. 82).

3. The summary of the Guidelines is envisaged as a contribution to further discussion of this subject by the Committee at its tenth session. It may also be taken into account by the meeting of experts from developing countries that may be convened on that occasion (see A/AC.237/55, paras. 82-83). It should be noted, however, that the Guidelines in decision 9/2 are specific to the

commitments of Annex I Parties with respect to the communication of information and are not relevant in all respects to the more limited set of commitments applicable to all Parties under Article 12.1.

4. In effect, Article 12 establishes common as well as differentiated responsibilities relating to the communication of information by Parties. Article 12.1 stipulates the elements of information to be provided by all Parties. Article 12.2 specifies additional, more detailed elements of information that Parties included in Annex I are to provide. Article 12.3 deals with further details to be provided by Parties included in Annex II on measures taken in accordance with Article 4, paragraphs 3, 4 and 5.

5. Moreover, under Article 12.5 Parties included in Annex I are to make their initial communication within six months of the entry into force of the Convention for each Party. Other Parties are to make their initial communication within three years of the entry into force of the Convention for that Party or of the availability of financial resources in accordance with Article 4. Parties that are least developed countries may make their initial communication at their discretion.

6. The Guidelines adopted by the Committee for the preparation of first communications by Annex I Parties have three principal purposes, as stated in their paragraph 1:

"(a) To assist Annex I Parties in meeting their commitments under Articles 4 and 12;

(b) To facilitate the process of considering the national communications, including the preparation of useful technical analysis and synthesis documentation, by encouraging the presentation of information in ways that are consistent, transparent and comparable; and

(c) To ensure that the Conference of the Parties has sufficient information to carry out its responsibilities to review the implementation of the Convention and the adequacy of the commitments in Article 4.2(a) and (b)."

7. It may be noted that the Guidelines foster a flexible approach in determining the type of information to be provided. The key words "should", "encourage" and "may" are used in relation to different types of information to be communicated. These key words provide a basis for distinguishing between information that Annex I Parties are required to communicate under the Guidelines and that which they are to provide voluntarily. This is the approach used in the summary annexed to this note.

8. The summary is necessarily illustrative. A full understanding of the Guidelines can only be based on the complete text.

Annex

SUMMARY OF THE "GUIDELINES FOR THE PREPARATION OF FIRST COMMUNICATIONS BY ANNEX I PARTIES" (ANNEX TO COMMITTEE DECISION 9/2)

Note: Numbers in square brackets correspond to paragraph numbers in "Guidelines for the preparation of first communications by Annex I Parties" (A/AC.237/55, annex I, annex to decision 9/2).

A. Coverage/cross-cutting issues

9. The Guidelines provide that the national communications **should** include/address the following:

(a) Full range of actions to implement Convention obligations (emissions/removals, adaptation, research, education and other actions); [2]

(b) All anthropogenic emissions and removals of all greenhouse gases not controlled by the Montreal Protocol; [3]

(c) A qualitative discussion of uncertainty in data and underlying assumptions (quantitatively where possible); [10]

(d) If global warming potentials used, should use IPCC information/1992, direct effects, 100-year time horizon. [5]

10. The Guidelines provide that the national communications **may** include/address the following:

- Use of global warming potentials in inventories and projections (with conditions - IPCC information/1992, direct effects, 100-year time horizon. In addition, other time horizons and indirect effects of methane permitted but in addition to standard presentation). [5]

B. Inventories

11. The Guidelines provide that the national communications **should** include/address the following:

(a) Data on emissions and removals of CO_2, CH_4 and N_2O; [11]

(b) Data presented on gas-by-gas basis; [4]

(c) Emissions and removals listed separately (except where technically impossible); [4]

(d) Base year - 1990 (economies in transition can request flexibility subject to COP approval); [6]

(e) Use IPCC Draft Guidelines, including recommended standard tables and formats; [12]

(f) If use own methodology, provide sufficient documentation to back up data presented; [12]

(g) Enough information to allow reconstruction and assessment of inventory (per IPCC Draft Guidelines); [13]

(h) Transparent presentation of any methodological or data gaps; [11]

(i) Data on emissions from bunkers, in a separate category and, as far as possible, not included in national totals. [14]

12. The Guidelines **encourage** Annex I Parties to provide the following:

(a) Data on precursors CO, NO_x, VOCs; [11]

(b) Data on other greenhouse gases (e.g. PFCs, HFCs, SF_6); [11]

(c) Information on historical trends (e.g. 1970-1990). [15]

13. The Guidelines provide that the national communication **may** include/address the following:

(a) Inventory data for years subsequent to 1990; [7]

(b) Presentation of inventory data in other forms (e.g. per capita), but include in another section. [15]

C. Policies and measures

14. The Guidelines provide that the national communication **should** include/address the following:

(a) Overall policy context (including any targets); [18]

(b) Descriptions of policies/measures implemented or committed to since base year that make a significant contribution to the Party's efforts to reduce greenhouse gases; [16]

(c) Organized by gas and by sector as per recommended structure (see appendix); [19]

(d) With respect to each individual policy or measure:

(i) Objective of the policy/measure (regarding gas(es)/sector(s) targetted); [20(a)]

(ii) Status of implementation of the policy/measure; [20(d)]

(iii) Type of policy instrument involved in the policy/measure (e.g. regulatory, fiscal, education, voluntary, research and development related to mitigation) ; [20(b)]

(iv) How the policy/measure interacts with other policies/measures; [20(c)]

(v) How the policy/measure is expected to function or is functioning; [20(e)]

(vi) Intermediate indicators of progress for the policy/measure; [20(f)]

(vii) How greenhouse gas effects to be monitored over time. [20]

15. The Guidelines provide that the national communications **may** include/address the following:

(a) Actions implemented by regional/local governments and private sector (avoid double-counting, some aggregation is preferable); [17]

(b) Policies and measures adopted in context of international/regional efforts towards coordination of instruments; [17]

(c) Information on cost of policy or measure; [21]

(d) Policies and measures adopted before the base year (to include in basic data section); [22]

(e) Policies and measures under consideration (to include in separate section). [23]

D. **Projections and assessments of effects of measures** (may use models/approaches of choice)

16. The Guidelines provide that the national communications **should** include/address the following:

(a) Projection of emissions/removals for year 2000: [8, 24]

- for CO_2, CH_4 and N_2O (minimum information); [25]
- data presented on gas-by-gas basis; [4, 26]

- incorporating effects of policies and measures implemented or committed to when communication produced ("with measures" scenario) - to extent possible; [24]

- emissions and removals listed separately (except where technically impossible). [4]

(b) Specific estimate of total effect on emissions/removals in the year 2000 of all policies and measures implemented or committed to since the base year - to extent possible; [27]

(c) Specific estimate of effects of individual policies and measures (wherever possible); [28]

(d) Enough information for qualitative understanding of model/approach; [29(b)]

(e) Summary of strengths and weaknesses of model/approach, with indication of scientific credibility; [29(c)]

(f) Ensure models/approaches account for overlaps/synergies; [29(d)]

(g) Enough information for quantitative understanding of key assumptions - provide values of key assumptions for base year and 2000 (may draw upon illustrative list). [30]

17. The Guidelines **encourage** Annex I Parties to provide the following:

(a) "without measures" scenario projection; [24]

(b) Projections of greenhouse gases other than CO_2, CH_4 and N_2O; [25]

(c) Projection of data for one or more years prior to 2000; [8]

(d) Projections beyond 2000 (e.g. 2005 and/or 2010); [8]

(e) Findings of sensitivity analyses (how results are affected by changes in key assumptions). [31]

18. The Guidelines provide that the national communications **may** include/address the following:

(a) Disaggregation by sector of projection; [26]

(b) Information on other key outputs of models/approaches for base year and 2000 (drawing upon illustrative list). [30]

E. **Vulnerability assessment and adaptation measures**

19. The Guidelines provide that the national communications **should** include/address the following:

(a) Expected impacts of climate change (brief); [32]

(b) Actions to implement Article 4.1(b) and (e). [32]

F. **Finance and technology (Annex II countries only)**

20. The Guidelines provide that the national communications **should** include/address the following:

(a) Actions to implement Article 4.3, 4.4 and 4.5; [33]

(b) Contributions to financial mechanism (distinguish between 2 phases); [33(a)]

(c) Financial resources provided through bilateral, regional and other multilateral channels (mitigation and adaptation); [33(b)]

(d) Other information (technology transfer/access; government and private sector). [33(c)]

21. The Guidelines provide that the national communications **may** include/address the following:

- expected future resource allocations. [34]

G. **Research and systematic observation**

22. The Guidelines provide that the national communications **should** include/address the following:

(a) Actions relating to research and systematic observation (not description of results); [35-37]

(b) Actions to support capacity building in developing countries. [36]

H. **Education, training and public awareness**

23. The Guidelines provide that the national communications **should** include/address the following:

- actions on education, training and public awareness (domestic and international, including public participation in preparation of national communication). [38]

I. Special considerations

24. The Guidelines provide that the national communications **should** include/address the following:

- if seeking to use Article 4.6 or 4.10, clear statement of special consideration sought and adequate explanation of circumstances. [6, 39-40]

25. The Guidelines provide that the national communications **may** include/addresss the following:

- seek flexibility or special consideration (with conditions - state clearly the special consideration sought and provide explanation of circumstances). [39-40]

J. Basic data (National circumstances)

26. The Guidelines provide that the national communications **may** include/address the following:

(a) Population profile data; [41(a)]

(b) Geographic profile data; [41(b)]

(c) Climatic profile data; [41(c)]

(d) Economic profile data; [41(d)]

(e) Energy profile data; [41(e)]

(f) Social profile data. [41(f)]

Appendix

POLICIES AND MEASURES ORGANIZED BY GAS AND BY SECTOR AS PER RECOMMENDED STRUCTURE*

Carbon dioxide

- Energy and transformation industries

Transport

- Industry (energy-related)
- Industry (non-energy)
- Residential and commercial
- Agriculture
- Land use change and forestry
- Cross-sectoral

Methane

- Waste management (including sewage treatment)
- Agriculture (non-energy)
- Fugitive Fuel Emissions
- Industry (non-energy)
- Industry (energy-related)

Nitrous oxide

- Industry (non-energy)
- Industry (energy-related)
- Agriculture (non-energy)
- Transport
- Energy and transformation industries

Other greenhouse gases and precursors

Transport

- Energy and transformation industries
- Industry (non-energy)
- Industry (energy-related)
- Residential and commercial
- Land use change and forestry
- Solvent and other product use

* See annex, section C, para.14 (c), above.